

ATTORNEY'S DCKET NO.: ENZ-56

## THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Dakai Liu and Elazar Rabbani  
Serial No.: Not Yet Known Group Art Unit: Not Yet Known  
Filed: March 20, 1997 Examiner: Not Yet Known  
For: VECTORS AND VIRAL VECTORS, AND PACKAGING CELL LINES FOR PROPAGATING SAME

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9 (f) and 1.27 (c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN ENZO THERAPEUTICS, INC.  
ADDRESS OF CONCERN 60 EXECUTIVE BOULEVARD  
FARMINGDALE, NEW YORK 11735

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Rule 35, United States Code, in that the number of employees of the concern, including those of its affiliates does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled:

**VECTORS AND VIRAL VECTORS, AND PACKAGING CELL LINES FOR PROPAGATING SAME**

by inventor(s)

**DAKAI LIU AND ELAZAR RABBANI**

described in

- ☒ the specification filed herewith  
☐ application Serial No.  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

( ) Individual ( ) Small Business Concern ( ) Nonprofit

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING  
TITLE OF PERSON OTHER THAN OWNER  
ADDRESS OF PERSON SIGNING

RONALD C. FEDUS, ESQ.  
CORPORATION AND PATENT COUNSEL  
527 MADISON AVENUE (9TH FLOOR)  
NEW YORK, NEW YORK 10022

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

MARCH 20 97

## EXPRESS MAIL CERTIFICATE

AIR MAIL No. EM49424054Deposit Date MARCH 20, 1997

I hereby certify that this paper and the attachments herein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.80 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington DC 20230.

Ronald C. FedusMARCH 20 1997

Date

MBD3-21-97

05-06-1997

08/822963

FORM PTO-1595

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(Modified)

R

SHEET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Honorable Commissioner of

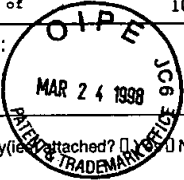
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attached original documents or copy thereof.

1. Name of conveying party(ies):

Dakai Liu and Elazar Rabbani

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No



2. Name and address of receiving party(ies):

Name: Enzo Therapeutics, Inc.

Internal Address:

Street Address : 60 Executive Boulevard

City: Farmingdale State: NY Zip: 11735-4716

Additional name(s) & address(es) attached? ☐ Yes ☐ No

3. Nature of conveyance:

☒ Assignment ☐ Merger

☐ Security Agreement ☐ Change of Name

☐ Other

Execution Date: March 20, 1997

4. Application number(s) or patent number(s): [number]

If this document is being filed together with a new application, the execution date of the application is: March 20, 1997

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Ronald C. Fedus, Esq.

Enzo Therapeutics, Inc.

c/o Enzo Biochem, Inc., 527 Madison Avenue, 9th Floor,  
New York, New York 10028 (212) 583-0100

6. Total number of applications and patents: 1

7. Total fee (37 CFR 3.41): \$40.00

☐ Enclosed

☐ Deficiencies in fees are authorized to be charged to deposit account

8. Deposit account number: 05-1135

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Ronald C. Fedus

Name of Person Signing

*[Signature]*  
Signature

March 20, 1997

Date

Total number of pages including cover sheet, attachments and document: 3

CMB No. 0651-0011 (exp. 4/94)

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Mail documents to be recorded with required cover sheet information to:

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Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project (0651-0011), Washington, D.C. 20503.

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Attorney's Docket No. ENZ-56

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EXPRESS MAIL CERTIFICATE	
"Express Mail" Label No.	EM449474054
Deposit Date	MARCH 20, 1997
I hereby certify that this paper and the attachments herein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington DC 20231.	
<i>[Signature]</i> Ronald C. Fedus Reg. No. 32567	MAR 20 1997 Date



Attorney's Docket No. ENZ-56

### DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

#### VECTORS AND VIRAL VECTORS, AND PACKAGING CELL LINES FOR PROPAGATING SAME

the specification of which

(check one) ☒ is attached hereto.  
☐ was filed on \_\_\_\_\_, as U.S. Patent Application Serial No. \_\_\_\_\_  
☐ and was amended on \_\_\_\_\_, 1995 (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No
_____	_____	_____	_____	_____
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §156(a) which occurred between the filing date of the prior application and the national or PCT international filing date of the application:

_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status-patented, pending, abandoned)
_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status-patented, pending, abandoned)

ENZ-56



Dakai Liu and Elazar Rabbani  
Serial No.: Not Yet Assigned  
Filed: March 20, 1997  
Page 2 (Declaration For Patent Application)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Ronald C. Fedus, Esq., Reg. No. 32,567.

Address all telephone calls to: Ronald C. Fedus, Esq., at telephone no. (212)-583-0100  
Address all correspondence to: Ronald C. Fedus, Esq., Corporation & Patent Counsel  
Enzo Therapeutics, Inc.  
c/o Enzo Biochem, Inc.  
527 Madison Avenue - 9th Floor  
New York, NY 10022

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Dakai Liu  
First Inventor's signature [Signature] Date 3/20/97  
Residence 56 Fitchberg Street, Islip, New York 11706 Citizenship P. R. China  
Post Office Address (Same as above)

Full name of second joint inventor, if any Elazar Rabbani  
Second Inventor's signature [Signature] Date 3/20/1997  
Residence 69 Fifth Avenue (No. 19A), New York, New York 10003 Citizenship United States  
Post Office Address (Same as above)

Full name of third joint inventor, if any \_\_\_\_\_  
Third Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address (Same as above)

Full name of fourth joint inventor, if any \_\_\_\_\_  
Fourth Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address (Same as above)

\*\*\*\*\*



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JUNE 13, 1997

PTAS



\*100411235A\*

ENZO THERAPEUTICS, INC.  
RONALD C. FEDUS  
527 MADISON AVENUE, 9TH FLOOR  
NEW YORK, NY 10028

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/21/1997

REEL/FRAME: 8481/0912  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
LIU, DAKAI

DOC DATE: 03/20/1997

ASSIGNOR:  
RABBANI, ELAZAR

DOC DATE: 03/20/1997

ASSIGNEE:  
ENZO THERAPEUTICS, INC.  
60 EXECUTIVE BOULEVARD  
FARMINGDALE, NEW YORK 11735-4716

SERIAL NUMBER: 08822963  
PATENT NUMBER:

FILING DATE:  
ISSUE DATE:

DOROTHY RILEY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

**ASSIGNMENT**

In consideration of One Dollar (\$1.00), and other good and valuable consideration, the receipt of which is hereby acknowledged, I, the undersigned,

Dakai Liu  
and  
Elazar Rabbani,

**RESIDING AT:**

56 Fitchberg Street, Islip, New York 11706;  
and  
69 Fifth Avenue (No. 19A), New York, New York 10003; respectively,

Hereby sell, assign and transfer to: Enzo Therapeutics, Inc., a corporation of the State of New York, having a principal place of business at: 60 Executive Boulevard, Farmingdale, New York 11735-4716, its successors, assigns and legal representatives, the entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in the application for United States Letters Patent, which has been executed by the undersigned concurrently herewith, and is entitled:

**VECTORS AND VIRAL VECTORS, AND PACKAGING CELL LINES  
FOR PROPAGATING SAME**

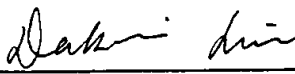
(said application having been filed on March 20, 1997 and accorded U.S. Patent Application Serial No. \_\_\_\_\_)

and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said improvements:


Dakai Liu and Elazar Rabbani  
Serial No.: Not Yet Assigned  
Filed March 20, 1997 [Assignment]

Agree that said Assignee may apply for and receive Letters Patent for said improvements in its own name, and that, when requested, without charge to but at the expense of said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney and other papers, communicate to said Assignee, its successors, assigns, and representatives, all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

  
Dakai Liu

3/20/97  
(date)

  
Elazar Rabbani

3/20/1997  
(date)

\* \* \* \* \*

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Attorney's Docket No. Enz-56